

UTILITY & RAILROAD ENGINEERING SECTION

UTILITY COORDINATION GUIDE FOR DESIGN CONSULTANTS

November 1, 1999

PREFACE

This manual is intended primarily to provide guidance for the Design Consultants responsible for utility coordination on ADOT projects. In addition, it is intended to encourage consistency in relations with railroad and utility companies, regardless of whether coordination is the responsibility of ADOT's Utility and Railroad Engineering Section or design consultants. For that reason, although it is not possible to cover all situations, an effort has been made to make the manual detailed enough to provide guidance for those not familiar with the utility coordination process.

It is anticipated that revisions will be made periodically, as required by future organizational and procedural changes.

INTRODUCTION

ABBREVIATIONS

The following abbreviations are used in this manual:

ACC Arizona Corporation Commission
ADOT Arizona Department of Transportation
AG Attorney General of Arizona
C&S Contracts & Specifications Section of ADOT
FHWA Federal Highway Administration
IGA Intergovernmental Agreement
LGS Local Government Section of ADOT
URR Utility & Railroad Engineering Section of ADOT

RESPONSIBILITIES

In general terms, ADOT's Utility and Railroad Engineering Section (URR) has two primary responsibilities. One is to administer the Federally-funded railroad crossing safety improvement program; the other is to ensure that no unexpected delays or expenses occur during construction as a result of conflicts with utility or railroad facilities. These responsibilities sometimes are shared by others, depending on the category of project involved.

GOAL

The activities of URR in relation to highway construction projects are directed toward one goal - the production of a Utility Clearance Letter for each project, certifying that all utility-related concerns have been addressed. Any Agreements required for utility relocations must be completed before this document can be produced. URR also verifies that the project plans and specifications contain all the information needed by State and contractor forces to prevent unforeseen problems involving utility facilities. This procedural guide outlines the Design Consultant's role in helping achieve this goal.

DEFINITIONS

The definition of the term "utility" as used in this manual will be the same as that given in the GUIDE FOR ACCOMMODATING UTILITIES ON HIGHWAY RIGHT-OF-WAY, prepared by Utility and Railroad Engineering Section: "...an entity which transmits or distributes communication, cable television, electricity, light, heat, gas, oil, crude products, water, sewer, waste or any other similar commodity which directly or indirectly serves the public." Unless otherwise noted, references to Utility Companies shall be considered to also refer to Railroad Companies. Traffic signals and street lighting are not considered "utilities."

The ownership of utilities varies--one type is ownership by municipalities, such as cities or counties. A second type is ownership by "utility companies" such as public service corporations or utility districts. A third type is ownership of utilities by private individuals for use on their own property (for example, a rancher's water well and the supply line to his buildings, or a water supply system owned by a trailer park operator and serving only his own park.)

Other Sections of ADOT, as well as the consulting community, have consistently referred to the first type as “municipal utilities,” and the second type as “private utilities.” In support of this, they rely on the definition of “private” as “conducted and supported primarily by private individuals or by a nongovernmental agency or corporation.” They sometimes also include the third type of ownership in this category. (Definitions from the American Heritage Dictionary, Third Edition.)

URR, however, has consistently referred to the first two types as “public utilities” because they serve the general public. In support of this, URR has relied on the definitions of “public” as “of, concerning, or affecting the community or the people,” and as “capitalized in shares of stock that can be traded on the open market.” (Definitions from the American Heritage Dictionary, Third Edition.)

The “Blue Stake Law,” (A.R.S. Sections 40-360.21 through 40-360.32) refers to “municipal corporations,” “public utilities,” and “other persons” having the right to bury underground facilities. It also makes reference to “public service corporations.”

The State Constitution states that, “All corporations other than municipal engaged in carrying persons or property for hire; or in furnishing gas, oil, or electricity for light, fuel, or power; or in furnishing water for irrigation, fire protection, or other public purposes; or in furnishing, for profit, hot or cold air or steam for heating or cooling purposes; or in transmitting messages or furnishing public telegraph or telephone service, and all corporations other than municipal, operating as common carriers, shall be deemed public service corporations.”

As a result of these differing definitions, communication problems have arisen, and Scopes of Work for design consultants contain inconsistent instructions. In one section of the Scope the design consultants are told to handle private utilities as a utility issue; in another section of the Scope they are told that private utilities are handled by Right of Way Section.

Care must be taken to use terms that will be understood by everyone involved. This Manual will consider the first two types of utility ownership as utilities which serve the general public, and the third type as utilities which do not serve the general public.

URR considers utilities which serve the general public, whether owned by municipalities, public service corporations, irrigation districts, etc., to be essentially the same, and uses similar procedures for dealing with them.

Relocation of utility facilities belonging to an owner or occupant of real property whose facilities are used solely to furnish services to that property (i.e., do not serve the general public) is paid by Right of Way Section as a “cost to cure” when the property is being acquired. However, Right of Way Section will not be responsible for payment for work such as service line adjustments and reconnections if only a “partial take” of the property is made for the highway project. For “partial takes” the adjustment of service lines, meters, etc., normally should be made a part of the highway contract. The design consultant will need

to make sure that any such items of work are covered in the plans and special provisions, and that provision has been made for payment to the contractor.

RESPONSIBILITIES

GENERAL

A utility coordinator, whether employed by a Consultant or directly by ADOT, has many responsibilities. Some of these include the following:

1. Send various documents to Utility Companies for their information:
 - a. Project Assessments
 - b. Design Concept Reports
 - c. Stage II, III, & IV (30%, 60%, and 95%) Plans
 - d. Final Plans and Specifications
 - e. Meeting minutes when applicable
2. Obtain information from Utility Companies and transmit it to Designer:
 - a. As-built information
 - b. Requests by Utility Companies for work to be included in ADOT contract
 - c. Contact information and requirements for Special Provisions
3. Utility Agreements:
 - a. Verify need for Agreement
 - b. Verify prior rights status
 - c. Write and process Agreement
4. Special Provisions:
 - a. Prepare Special Provisions for utility-related items
 - b. Verify accuracy of Special Provisions with Utility Companies
5. Clearance Letter:
 - a. Prepare Utility Clearance Letter
 - b. Send Clearance Letter to appropriate destination
6. Post-Clearance Responsibilities

The specifics of these responsibilities will be discussed in later chapters. This chapter will concentrate on the division of responsibilities between U&RR and the design consultant.

DESIGN CONSULTANT PROJECTS

In general, the Design Consultant is responsible for utility coordination and information. The Design Consultant determines locations of potential utility conflicts. URR determines whether the utility has prior rights, and writes and processes utility relocation Agreements.

A. UTILITY DETERMINATION USING A UTILITY-LOCATING CONSULTANT (a two phase process that defines horizontal and vertical utility information often referred to as “potholing”)

1. Design Consultant
 - a. Provides a base map and ground control, and sets utility location criteria (Phase 1). Should be done before Stage II plans.
 - b. During the design process furnishes a list of possible conflicts to be potholed (Phase 2). Should be done before Stage III plans.
 - c. Revises plans to include utility information.
 - d. Investigates resolution of utility conflicts.
2. Utility Locating (Pothole) Consultant
 - a. Makes the initial contact with Utility Companies.
 - b. Determines horizontal location of existing utilities (Phase 1).
 - c. Potholes for utility elevations at locations specified by Design Consultant (Phase 2).
3. URR
 - a. Acts as point of contact between Design Consultant and Locating Consultant.
 - b. Receives the utility information from the Utility Locating Consultant and transmits it to the Design Consultant

B. UTILITY DETERMINATION WITHOUT USING A UTILITY-LOCATING CONSULTANT. (This method can be unreliable because it utilizes as-built information. It should only be used when anticipated conflicts are minimal.)

1. Design Consultant
 - a. Makes initial contact with Utility Companies.
 - b. Obtains utility location information from Utility Company as-builts, and includes it on the project plans.
 - c. Investigates resolution of utility conflicts.

C. ADDITIONAL ACTIVITIES

1. Design Consultant
 - a. Sends plans to utility companies at each stage of development.
 - b. Incorporates utility information into plans.
 - c. Advises URR of the need for Utility Relocation Agreements due to conflicts or to work to be done for the utility company by the highway contractor. (Keep in mind that Utility Agreements can require several months to process and they must be completed before the clearance letter is issued and before the bid advertising date.)
 - d. Provides an estimate, or confirms utility company's estimate, for Utility Agreements.
 - e. Writes utility special provisions and clearance letter, and submits them to URR for concurrence.

2. URR

- a. Upon notice from design consultant, requests and verifies utility's prior rights (to maintain continuity, URR may recommend that the design consultant request prior rights documentation), and writes and processes utility Agreements.
- b. Reviews the design consultant's utility-related Special Provisions and plans for completeness and accuracy.
- c. Prepares a cover letter and submits the design consultant's Utility Clearance Letter to C&S.

D. CORRESPONDENCE

All correspondence should include the ADOT Prefix Number, TRACS Number and the Federal Reference Project Number. The construction numbers should be the primary reference for correspondence relating to plans and specifications. In addition, when writing to a Utility Company, its File Number or other Identification Number (if they assign one) should always be included. The Utility Agreement Number should be included on correspondence related to a Utility Agreement. It is recommended that correspondence for progress meetings be sent to the Utility Company and that your utility company contact is invited to design progress meetings. Copies of all correspondence should be sent to the URR Coordinator and the ADOT Project Manager.

RESPONSIBILITY CHART

DESIGNED BY CONSULTANT
WITH LOCATING (POTHOLE) CONSULTANT

ITEM	DES CONS	UTIL CO.	LOCAT CONS.	URR
-----	----	----	-----	----
Send PA to Util. for their info.				X
Send DCR to Util. for their info.	*			*
Send Final DCR to Utilities	*			*
Prepare 15% plans or base map	X			
Assign designating to locating consultant				X
Determine Utilities in area			X	
Request as-builts			X	
Place exst. utility info. on plans	X			
Send 30% plans to Utilities	X			**
Receive utility comments on 30%	X			**
Verify utility locations on plans		X		
Determine possible conflicts	X	X		
Prepare pothole request list	X			
Assign potholing to locating consult.				X
Place elev. info. on plans	X			
Determine actual conflicts	X	X		
Draft prelim. des. & reloc. sched.		X		
Request prior rights documents	X			X
Verify prior rights				X
Send 60% plans to Utilities	X			**
Receive utility comments on 60%	X			**
Authorize preliminary engineering				X
Prepare relocation plan & estimate		X		
Verify relocation plan is acceptable	X			X
Advise R/W of requirements	X			X
Prepare & process Agreement				X
Obtain FHWA authorization for reloc.				X
Authorize relocation work				X
Hold pre-relocation meeting	X			
Write utility special provisions	X			
Write utility clearance letter	X			
Send 95% plans to Utilities	X			**
Receive utility comments on 95%	X			**
Send bid advertisement to Utilities				X

*DCR is distributed by Design Consultant if prepared by him.

It is distributed by URR if prepared by ADOT.

**URR, not consultant, is contact for RR Companies.

RESPONSIBILITY CHART

DESIGNED BY CONSULTANT
WITHOUT LOCATING (POTHOLE) CONSULTANT

ITEM	DES CONS	UTIL CO.	URR
-----	----	----	---
Send PA to Util. for their info.			X
Send DCR to Util. for their info.	*		*
Send Final DCR to Utilities	*		*
Prepare 15% plans or base map	X		
Determine Utilities in area	X		
Request as-builts	X		
Send 15% plans to Utilities	X		**
Receive util. comments on 15%	X		**
Place as-built info. on plans	X		
Send 30% plans to Utilities	X		**
Verify utility locations on plans		X	
Determine possible conflicts	X	X	
Request elev. info. from Util Company	X		
Place elev. info. on plans	X		
Determine actual conflicts	X	X	
Draft prelim. des. & reloc. sched.		X	
Receive utility comments on 30%	X		**
Request prior rights documents	X		X
Verify prior rights			X
Send 60% plans to Utilities	X		**
Receive utility comments on 60%	X		**
Authorize preliminary engineering			X
Prepare relocation plan & estimate		X	
Verify relocation plan is acceptable	X		X
Advise R/W of requirements	X		X
Prepare & process Agreement			X
Obtain FHWA authorization for reloc.			X
Authorize relocation work			X
Hold pre-relocation meeting	X		
Write utility special provisions	X		
Write utility clearance letter	X		
Send 95% plans to Utilities	X		**
Send bid advertisement to Utilities			X

*DCR is distributed by Design Consultant if prepared by him.

It is distributed by URR if prepared by ADOT.

**URR, not Consultant, is contact for RR Companies.

UTILITY COORDINATION PROCEDURES

STEP I PREPARE STAGE I PLANS:

When preparing Stage I (15%) plans, the design consultant, ADOT Project Manager and URR Coordinator should determine whether a Utility-Locating (Pothole) Consultant is to be used or whether the project is simple enough to rely on utility company as-built plans. This determination should have been made at the Project assessment or Design Concept Report stage of development and before the Scope of Work was prepared for the Design Consultant; however, there are times when this does not happen.

The use of a Utility-Locating Consultant is encouraged to permit the earlier recognition and resolution of utility conflicts. The goal is for the stage II (30%) plans to contain the existing utility locations and enough information so the Utility Companies will begin preliminary relocation plans. The final relocation plans can then be based on the stage III (60%) plans, and utility relocation can begin without waiting for the stage IV (95%) plans.

ADOT has contracted with certain locating firms to provide service in researching and locating existing utilities. (The cost for this service is paid by ADOT not the design consultant.) This is a two-step process. The first portion, termed “designating”, provides the type of utility and its horizontal location. The second portion provides vertical location, size, etc., by potholing in selected locations.

If a Utility-Locating Consultant is not used the design consultant must send plans to the utility companies and request utility as-built plans. The designer will establish contact with the Utility Company. The PA or DCR should indicate what facilities are in the area. The permit log may be required to determine the name of the Utility Company. A copy of the permit log may be obtained by contacting ADOT’s Maintenance Permit Section. The request should say that you are working on an ADOT project and should include the Route, Beginning MP, Ending MP, Tracs Number and the name of the Project Manager or URR Coordinator. Also, the Blue Stake Center can provide the names of local utility companies throughout the state. Keep in mind that you will have to depend on the utility companies horizontal and vertical information if the Utility-Locating Consultant is not used. The Utility-Locating Consultant will only pothole facilities for which they performed the horizontal designating.

To utilize a Utility-Locating Consultant, the designer will be required to prepare a base map showing the project limits, the length and width to be investigated for utilities, and horizontal control points. These must be points, existing on the ground as well as on the base map, which the Utility-Locating Consultant can locate, and which also will be used by the designer. The base map is to be submitted on a computer disk in Intergraph CADD format. When this information is available, the designer should contact URR and URR will set-up an appointment with the locating service.

The Utility-Locating Consultant will make the initial contact with the utility companies. He will acquire their as-built records, verify the horizontal location in

the field by electronic or other means, and add the information to the designer's computer disk on the proper level in an Intergraph reference file. URR will forward the disk to the designer. (It is permissible to have the locator submit the information directly to the designer.)

STEP 2: PREPARE STAGE II (30%)

The designer will include the location of the existing utilities on the Stage II (30%) plans so they can be verified by the utility companies. The designer will send the Stage II plans to the utility companies and receive comments from the utility companies. A copy of the transmittal letter and one set of plans should be sent to URR. (If a railroad is involved plans should also be sent to URR Railroad Liaison. The Railroad Liaison will coordinate with the Railroads.)

STEP 3: DETERMINE POSSIBLE CONFLICTS

The time between Stage II and Stage III plans should be used to determine possible utility conflicts. Comments from the utility companies and the existing utility locations should be evaluated by the designer and compared to the new roadway design. If existing utility elevations are required the Utility-Locating-Consultant can be utilized if they performed the horizontal designation. If a Locating-Consultant is not used the designer must get existing elevations from the utility companies.

To utilize phase 2 of the locating service, the designer will determine locations of possible conflicts and prepare a list of specific locations at which exact utility elevations are needed. The designer should discuss the specific conflicts and pothole locations with URR to ensure that all of the requested pothole locations are essential (and cost effective). The approved pothole locations should be circled on the plans and a list of the corresponding coordinates should be prepared. Once again survey control points with elevations should be provided and these should be the same control points used in the design. When this information is available the designer should contact URR and an appointment with the Utility-Locating Consultant will be arranged. The Utility-Locating Consultant will do the potholing and return the information. URR will forward the information to the designer. (It is permissible to have the locator submit the information directly to the designer.)

The designer should include the existing utility information on the project plans and determine if actual conflicts exist and if utility relocations are required. (It is sometimes appropriate to modify the roadway design to avoid conflicts.) At this time the designer should be discussing preliminary relocation plans and schedules with the utility companies. If a relocation is likely, the designer should request (or prompt URR to request) prior rights documentation from the affected utility companies. (The utility company should be informed that it is their responsibility to prove prior rights.) URR is responsible for verifying the prior rights. The right-of-way width should be evaluated with respect to the utility relocations. If the right-of-way width is inadequate, the designer should advise URR and ADOT's Right of Way Group.

STEP 4: PREPARE STAGE III (60%)

The designer will include the location of the existing utilities on the Stage III (60%) plans so they can be verified by the utility companies. The designer will send the Stage III plans to the utility companies and receive comments from the utility companies. A copy of the transmittal letter and one set of plans should be sent to URR. (If a railroad is involved plans should also be sent to URR Railroad Liaison. The Railroad Liaison will coordinate with the Railroads.)

The designer should discuss the conflicts with URR and determine if a Utility Agreement will be required for the relocation. URR will send an authorization letter to the utility company to begin its preliminary engineering (relocation design and cost estimate). If the utility company has prior rights, ADOT will pay for the relocation and a Utility Agreement is required. If the utility company does not have prior rights, the utility is responsible for the relocation cost and a Utility Agreement is not required. URR will notify the utility company to relocate at its own expense. If the utility company does not have prior rights and requests that ADOT's contractor do their relocation, a Utility Agreement is required because the utility company must pay for the work in advance.

STEP 5: UTILITY CONFLICT RESOLUTION:

RELOCATION PLANS, ESTIMATE, SCHEDULE AND AGREEMENTS.

The time between Stage III and Stage IV plans should be used to fully define how utility conflicts will be resolved, who is doing the work and who is paying for the work. The designer should request relocation plans and schedules from all utilities that must relocate, regardless of prior rights.

The designer will ensure that the relocation plan is compatible with the roadway design and construction sequencing and that the schedule will not delay ADOT's contractor. URR may require the designer's help getting relocation plans and cost estimates from the utility companies so the Utility Agreements can be processed by URR in a timely manner. After the Utility Agreement is executed and right-of-way acquisition is completed (if required), URR will send an authorization letter to the utility company to begin its relocation.

The designer should hold a pre-relocation meeting with the affected utility companies. This is a good opportunity to discuss schedules and construction sequencing. This is information the designer will use to prepare the utility clearance letter and utility special provisions.

STEP 6: PREPARE THE UTILITY SPECIAL PROVISIONS

The designer is responsible for preparing the utility special provision for ADOT's bid package. A copy of the utility special provisions should be submitted to the URR Coordinator and the ADOT Project Manager for review. Utility Special Provisions contain several types of information, some of which include:

1. Statement that there are no utilities in conflict or
2. List of Utility Companies in area and contact persons
3. Statement of Utilities in conflict
 - Description
 - Status
 - Anticipated date that relocation will be completed
4. Work by Utility Companies during highway construction
 - Description
 - Dates or time required
5. Work to be done for Utility Company by ADOT contractor
 - Description
 - Materials availability or specifications
6. Utility license, permit, or right-of-entry required
7. Railroad insurance required and contractor relations with railroad
(Obtain railroad special provisions from the URR Railroad Liaison)

In many cases there are no anticipated conflicts between the construction project and existing utilities. However, the statement that there are no utilities in conflict with construction should be used only if there are, in fact, no utilities which might require adjustment, or if all utility relocations already have been completed at the time the Special Provisions are drafted.

Special Provisions should contain a list of those Companies which have facilities within the limits of the construction project, whether or not they are anticipated to be in conflict, and should instruct the contractor to contact those Companies a specified number of days prior to start of construction. The list should include the name and telephone number of the contact person for each Utility Company. This is the contact person specified by the Utility Company for construction purposes, not necessarily the person with whom the designer or utility coordinator has been corresponding. It is not necessary to list all Utility Companies that have been contacted if they do not have any facilities in the area. The Special Provisions must make a clear distinction between Utility Companies which are in conflict and those which are in the area but are not in conflict.

Give a brief description of the required adjustment or relocation. Make clear whether utility relocation is expected to be completed prior to construction or if it will occur during construction. The estimated completion date or duration should be given. If the utility work will occur during highway construction that fact must be clearly stated, as well as whether the relocation work will be performed by the Utility Company or by the highway contractor.

If the Utility Company will perform work during the construction project give a brief description of the work. Give the estimated date of completion, or the length of time required. Give any special requirements, such as notice from highway contractor to Utility Company, time during which contractor's access to site will be restricted, etc.

The highway contractor may be required to perform some utility adjustments, or to do work for the benefit of the Utility Company. In these cases the work is included in the plans and specifications. Include in the Special Provisions any special requirements such as notification to the Utility Company for inspection, to provide access to the facility, to turn a utility on or off, etc. If the Utility Company is furnishing any materials state their location, the contact person, and how much notice is required. If the highway contractor is to provide any materials include the Utility Company's special requirements and specifications in the Special Provisions.

It may be necessary to obtain a license, permit, or right-of-entry from a Utility Company or Railroad before the highway contractor can enter upon its property. (This is most often the case with the railroad. The designer should contact the URR Railroad liaison for this information.) The Special Provisions should state this fact. State whether ADOT or the contractor is responsible for obtaining the document. If ADOT is responsible, state whether the document has been obtained, will be obtained prior to the start of construction, or the estimated date by which the document will be obtained. If the contractor is to obtain the document, or if it is dependent upon some action of the contractor, such as obtaining insurance or making an application, give the facts and the name and address of the appropriate contact person.

The following are some suggestions for the wording of Special Provisions.

If no utilities are believed to be located within the limits of the project the Special Provisions might read:

"No conflicts are anticipated with utilities. However, the contractor shall determine the exact location of any utilities prior to commencing construction operations."

If utilities exist within the project limits, one or more of the following statements would be appropriate:

"The following utility companies have facilities in the area but are not anticipated to be in conflict:

Company #1	Contact Person	Telephone
Company #2	Contact Person	Telephone

It shall be the contractor's responsibility to determine the exact location of the utilities prior to any construction operations and to notify the above utility companies at least two (2) working days prior to commencing any work on the project."

"The following utilities have facilities in conflict and are to be relocated prior to commencement of construction. It shall be the contractor's

responsibility to determine the exact location of the utilities prior to commencing construction.

*Company Name Contact Person Telephone
Description of conflict and estimated date of relocation."*

"The following utilities have facilities in conflict which are to be relocated during construction of this project. The contractor shall coordinate his work to facilitate the work performed by the utility companies and to avoid delays or conflicts.

*Company Name Contact Person Telephone
Description of conflict, estimated date of relocation, and other pertinent facts."*

STEP 7: STAGE IV (95%) PLANS

The designer will send the Stage IV plans to the utility companies and receive comments from the utility companies. A copy of the transmittal letter and one set of plans should be sent to URR. (If a railroad is involved plans should also be sent to URR Railroad Liaison. The Railroad Liaison will coordinate with the Railroads.)

After Final Plans and special provisions have been submitted to C&S, URR will send the bid advertisement information to the Utility Company. URR will handle the post-clearance activities; however, if conflicts do arise during construction URR may require the design consultant's assistance.

STEP 8: PREPARE THE UTILITY CLEARANCE LETTER

The designer is responsible for writing the Utility Clearance letter and submitting it to URR for approval. A copy should be submitted to the ADOT Project Manager for review. URR will forward the Utility Clearance letter to ADOT's Contract and Specifications Section and other appropriate parties. The construction project will not be advertised for bid until C&S receives the Utility Clearance Letter.

A Utility Clearance Letter is a certification that the utilities have been located and are as shown on the plans, that conflicts have been noted and resolved, that the disposition of utilities is explained in the Special Provisions, and that Utility Agreements have been signed. The Clearance Letter should not be written until these matters are resolved. In addition, if a Utility Company will need to relocate onto property which will be acquired by the State for the project, the right-of-way acquisition date must be known before the Utility Clearance Letter can be written.

All Clearance Letters should follow a format similar to that requested by the FHWA for Federally-funded projects. The statement that there are no utilities in conflict with the construction should only be used when there are no facilities needing adjustment or when all adjustments have been completed prior to writing the Clearance Letter. When there are utilities that need adjustment the Clearance Letter shall list each Utility Company separately, showing:

1. The name of the Company
2. The nature of adjustment required
3. The status of Agreements and/or permits
4. The status of the utility adjustment
 - a. Completed
 - b. To be done during construction by contractor
 - c. To be done during construction by Utility
 - d. In progress, with estimated completion date

The Letter must include all the required information regarding Utility Companies and a statement that, "With respect to utilities, this project may be released for bid." The designer should give URR an opportunity to review and comment on the draft clearance letter.

The following are some suggestions for the wording of Clearance Letter:

For those Companies which are in the area, but not in conflict:

"The following utility companies have facilities within the project limits, but are not anticipated to be in conflict:

<i>Company Name #1</i>	<i>Contact Person</i>	<i>Phone Number</i>
<i>Company Name #2</i>	<i>Contact Person</i>	<i>Phone Number"</i>

For those Companies which are in conflict, and expect to complete relocation prior to start of construction:

"The following utility companies have facilities in conflict with the proposed construction, and anticipate certain adjustments and relocations before construction commences:

<i>Company Name #1</i>	<i>Contact Person</i>	<i>Phone Number</i>
<i>Brief description of facilities in conflict, location by station and off-set, and anticipated completion date.</i>		
<i>Company Name #2</i>	<i>Contact Person</i>	<i>Phone Number</i>
<i>Brief description of facilities in conflict, location by station and off-set, and anticipated completion date."</i>		

For those Companies which are in conflict, and will relocate during construction:

"The following utility companies have facilities in conflict with the proposed construction, and anticipate certain adjustments and relocations during construction:

<i>Company Name #1</i>	<i>Contact Person</i>	<i>Phone Number</i>
<i>Brief description of facilities in conflict, location by station and off-set, and anticipated completion date.</i>		
<i>Company Name #2</i>	<i>Contact Person</i>	<i>Phone Number</i>
<i>Brief description of facilities in conflict, location by station and off-set, and anticipated completion date."</i>		

For those Companies which have conflict adjustments or other work to be performed by ADOT's contractor:

"The following utility companies have adjustments or other work which are part of this project. The contractor shall perform the work in accordance with the specifications on the plans and the Special Provisions.

Company Name #1 Contact Person Phone Number

Brief description of the conflict or other work.

Company Name #2 Contact Person Phone Number

Brief description of the conflict or other work."

The following are Sample Letters used by URR utility coordinators.

(This letter should be attached to early plans submittals)

«Title» «FirstName» «LastName»
«JobTitle»
«Company»
«Address1»«»
«City», «State» «PostalCode»

Re: TRACS No._____
Project No._____
Highway_____
Location_____

Dear «Title» «LastName»:

Attached for your information and review, is one set of ADOT's _ percent design stage plans on the above referenced project. After reviewing the plans, you may use this letter as a means to reply. Please check the appropriate response and complete item (4).

- 1) No facilities within the project limits _____
- 2) Have facilities, but no conflict _____
- 3) Have facilities - must relocate _____
Facilities in place via: Permit _____ Easement _____
- 4) Company contact person and phone number:
Name: _____ Phone:_____

If items 2 or 3 are marked, we will need to know where your facilities are located so we can place them on the plans. If your facilities are already shown on the plans, please check their location. If shown incorrectly, please mark the proper location on the attached plans.

Please be aware that the project is to be advertised for bid in _____;
therefore, your expedient response will be appreciated. Please return to:

(Design Consultant's Address)

If you have any questions or require additional information, please contact this office at _____.

Sincerely,

XXXXXXXXXXXXXXXXXXXXXXX

Cc: URR Coordinator
ADOT Project Manager

(This letter should be used on later plans submittal when relocations are required.)

«Title» «FirstName» «LastName»
«JobTitle»
«Company»
«Address1» «
«City», «State» «PostalCode»

RE: TRACS No. _____
Project No. _____
HIGHWAY _____
Location _____

Dear «Title» «LastName»:

Attached are the ____ percent plans on the above captioned project for your review. You will note that the utility adjustments required have been called out.

This project is scheduled for bid advertisement in _____ and we expect to have a contractor on site by the end of _____.

Please supply us with updated plans and updated schedules for your relocation so that we can incorporate that into our clearance letter and special provisions.

Thank you for your continued cooperation.

Sincerely,

XXXXXXXXXXXXXXXXXX

Cc: URR Coordinator
ADOT Project Manager

(This is a good letter to use for 95% submittals. The responses it generates, either “no conflict” or conflict resolution information, can be attached to the Utility Clearance Letter. This will help URR expedite their review of the designer’s clearance letter.)

«Title» «FirstName» «LastName»
«JobTitle»
«Company»
«Address1»«»
«City», «State» «PostalCode»

Re: TRACS No.
Project No.
HIGHWAY
Location

Dear «Title» «LastName»:

Attached is the ____ percent submittal for your review. Comments which could affect the design are critical at this review. If you have any comments, please submit them to this office no later than _____. Your cooperation is greatly appreciated.

If your facilities are not in conflict with the proposed design, please send this office a letter stating NO CONFLICT.

If any of your facilities are in conflict, please send this office a letter outlining the specific CONFLICT your proposed solution to the conflict, and a date you will have the conflict resolved.

The project Bid Advertisement date is scheduled for _____. If you have any questions, please contact this office at _____.

Sincerely,

XXXXXXXXXXXX

Cc: URR Coordinator
ADOT Project Manager

(Currently, the design consultant prompts URR to request prior rights documentation from the Utility Company. In order to maintain continuity, URR may recommend that the design consultant request the documentation. This letter can be used if the design consultant requests the prior rights documentation.)

«Title» «FirstName» «LastName»
«JobTitle»
«Company»
«Address1»«»
«City», «State» «PostalCode»

Re: TRACS No.
Project No.
HIGHWAY
Location

Dear «Title» «LastName»:

If you are claiming prior rights for your facility in its present location, we will need to review your easement, license, encroachment permit, and/or property ownership documents. ADOT will only pay for relocations for facilities with prior rights and it is the responsibility of the Utility Company to prove that prior rights exist. Please submit this documentation to our office as soon as possible.

If your prior rights are verified, ADOT will enter into an agreement to reimburse you for actual costs associated with your design and relocation. Please proceed with your engineering design, cost estimate, and schedule for the relocation of your facility. Please keep accurate records of all preliminary engineering costs.

Please forward a copy of your relocation plans, detailed cost estimate and relocation schedule as soon as possible.

If you have any questions, please contact this office at _____.

Sincerely,

XXXXXXXXXXXXXXXXXX

Cc: URR Coordinator
ADOT Project Manager

(This clearance letter can be used when there are no conflicts.)

DESIGN CONSULTANT LETTERHEAD

DATE

To: URR Coordinator
Utility and Railroad Engineering Section
Arizona Department of Transportation
205 S. 17th Avenue, MD 618E
Phoenix, Arizona 85007

Re: UTILITY CLEARANCE LETTER
TRACS No.
Project No.
HIGHWAYS
Location

Due to the nature of the work proposed for this project, which involves _____, we do not anticipate any utility conflicts with construction of the above referenced project.

In addition to your stored specifications under section 107.20, please include the following in the Project Special Provisions:

The following utility companies have facilities in the area but are not anticipated to be in conflict:

Company Name #1	Contact Person	Phone Number
Company Name #2	Contact Person	Phone Number"

It shall be the contractor's responsibility to determine the exact location of the utilities prior to any construction operations and to notify the above mentioned utility companies at least two (2) working days prior to commencing any work on the project.

With respect to utilities, this project may be released for bids.

XXXXXXXXXXXXXXXXXXXXXXX

Cc: URR Coordinator
ADOT Project Manager

(This clearance letter can be used when there are conflicts.)

DESIGN CONSULTANT LETTERHEAD

DATE

To: URR Coordinator
Utility and Railroad Engineering Section
Arizona Department of Transportation
205 S. 17th Avenue, MD 618E
Phoenix, Arizona 85007

Re: UTILITY CLEARANCE LETTER
TRACS No.
Project No.
HIGHWAYS
Location

This project involves _____.

In addition to your stored specifications under section 107.20, please include the following in the Project Special Provisions:

The following utility companies have facilities in the area but are not anticipated to be in conflict:

Company Name #1	Contact Person	Phone Number
Company Name #2	Contact Person	Phone Number"

The following utility companies have facilities in conflict with the proposed construction, and anticipate certain adjustments and relocations before construction commences:

Company Name #1	Contact Person	Phone Number
Brief description of facilities in conflict, location by station and off-set, and anticipated completion date.		
Company Name #2	Contact Person	Phone Number
Brief description of facilities in conflict, location by station and off-set, and anticipated completion date."		

The following utility company has facilities in conflict with the proposed construction, and anticipate certain adjustments and relocations during construction:

Company Name #1	Contact Person	Phone Number
Brief description of facilities in conflict, location by station and off-set, and anticipated completion date. List any constraints this may place on our contractor.		

The following utility company has adjustments or other work which are part of ADOT's construction project. The contractor shall perform the work in accordance with the specifications on the plans and the Special Provisions.

Company Name #1	Contact Person	Phone Number
Brief description of the conflict or other work.		

It shall be the contractor's responsibility to determine the exact location of the utilities prior to any construction operations and to notify the above mentioned utility companies at least two (2) working days prior to commencing any work on the project.

With respect to utilities, this project may be released for bids.

XXXXXXXXXXXXXXXXXXXXXXX

Cc: URR Coordinator
ADOT Project Manager